



Navigating the Market Conduct Frontier

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Overview

- Introduction
- Market Analysis process
- How your company can manage its Market Conduct risk more effectively
- Tips on moving a Market Conduct action toward conclusion



Navigating the Market Conduct Frontier



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When navigating the Frontier, lessons from the Corp of Discovery still apply today



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The Market Analysis Process

- Baseline analysis
- Level one analysis
- Level two analysis



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Environmental scanning through Market Analysis



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Effective Management of Market Conduct Risk

- Conducting internal analysis
- Conducting external analysis
- Proactively informing regulators of any regulatory issues that occur



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Effective Management of Market Conduct Risk

- Examples of internal analysis



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Effective Management of Market Conduct Risk

- Examples of external analysis



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Effective Management of Market Conduct Risk

- Proactively informing regulators of any regulatory issues that occur



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Concluding Market Conduct Actions



The single biggest problem in the communication process is the illusion that it has taken place... George Bernard Shaw

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Concluding Market Conduct Actions

- Tips for the planning phase
- Tips for the fact finding phase
- Tips for the closing phase



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Concluding Market Conduct Actions

- Tips for the planning phase



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Concluding Market Conduct Actions

- Tips for the fact finding phase



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Concluding Market Conduct Actions

- Tips for the closing phase



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Questions?



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